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PTO/SB/05 (4/98)
Approved for use through 09/30/2000. OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL (Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))	Attorney Docket No.	P113414
	First Inventor or Application Identifier	Dieter Blum
	Title	METHOD AND APPARATUS FOR THE SPECTRALLY EFFICIENT ENCODING AND DECODING OF DISCRETE DATA INTO AND FROM ANALOG WAVEFORMS
	Express Mail Label No.	EL589683488US

APPLICATION ELEMENTS See MPEP chapter 600 concerning utility patent application contents.	ADDRESS TO: Assistant Commissioner for Patents Box Patent Application Washington DC 20211
1. <input checked="" type="checkbox"/> *Fee Transmittal Form (e.g., PTO/SB117) (Submit an original and a duplicate for fee processing)	5. <input type="checkbox"/> Microfiche Computer Program (Appendix)
2. <input checked="" type="checkbox"/> Specification [Total Pages 9] (preferred arrangement set forth below) <ul style="list-style-type: none">- Descriptive title of the Invention- Cross References to Related Applications- Statement Regarding Fed sponsored R & D- Reference to Microfiche Appendix- Background of the Invention- Brief Summary of the Invention- Brief Description of the Drawings (if filed)- Detailed Description- Claim(s)- Abstract of the Disclosure	6. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) <ul style="list-style-type: none">a. <input type="checkbox"/> Computer Readable Copyb. <input type="checkbox"/> Paper Copy (identical to computer copy)c. <input type="checkbox"/> Statement verifying identity of above copies
3. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 1]	ACCOMPANYING APPLICATION PARTS 7. <input type="checkbox"/> Assignment Papers (cover sheet & document(s)) 8. <input type="checkbox"/> 37 C.F.R. § 3.73(b) Statement of Power of Attorney (when there is an assignee) 9. <input type="checkbox"/> English Translation Document (if applicable) 10. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 [Copies of IDS Citations] 11. <input checked="" type="checkbox"/> Preliminary Amendment 12. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized) 13. <input checked="" type="checkbox"/> Statement(s) of Small Entity (PTO/SB/09-12) [Statement filed in prior application, Status still proper and desired] 14. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed) 15. <input checked="" type="checkbox"/> Other: Transmittal Letter w/ Express Cert. of Mailing
4. Oath or Declaration [Total Pages 10] <ul style="list-style-type: none">a. <input checked="" type="checkbox"/> Newly executed (original or copy)b. <input type="checkbox"/> Copy from a prior application (37 C.F.R. § 1.63(d)) (for continuation/divisional with Box 16 completed)	
<input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).	

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:
☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: _____
Prior application in formation: Examiner _____ Group I Art Unit _____

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE ADDRESS					
<input checked="" type="checkbox"/> Customer Number or Bar Code Label 22931 or <input type="checkbox"/> Correspondence address below (Insert Customer No or Attach bar code label here)					
Name	Robert B. Hughes Hughes & Schacht P.S.				
Address	2801 Meridian St. Suite 1				
City	Bellingham	State	WA	Zip Code	98225
Country	U.S.	Telephone	(360) 647-1296	Fax	(360) 671-2489

Name (Print/Type)	Robert B. Hughes	Registration No. (Attorney/Agent)	19,304
Signature	<i>Robert B. Hughes</i>	Date	December 01, 2000

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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FEE TRANSMITTAL

for FY 2000

Patent fees are subject to annual revision.
Small Entity payments must be supported by a small entity statement,
otherwise large entity fees must be paid. See Forms PTO/SB/09-12.
See 37 C.F.R. §§ 1.27 and 1.28.

TOTAL AMOUNT OF PAYMENT \$ 355.00

Complete if Known

Application Number	
Filing Date	December 01, 2000
First Named Inventor	Dieter Blum
Examiner Name	
Group / Art Unit	
Attorney Docket No.	P113414

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to credit any overpayment to the account stated below.

Deposit Account Number 08-3260

Deposit Account Name

☒ Charge Any Additional Fee Required
Under 37 CFR §§ 1.16 and 1.17

2. ☒ Payment Enclosed:

☒ Check ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING

Large Entity	Small Entity	Fee Code (\$)	Fee Description	Fee Paid
101	760	201	380 Utility filing fee	355.00
106	310	206	155 Design filing fee	
107	480	207	240 Plant filing fee	
108	760	208	380 Reissue filing fee	
114	150	214	75 Provisional filing fee	

SUBTOTAL (1) \$ 355.00

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
3	-20 = 0	9.00	\$ 0.00
2	-3 = 0	39.00	\$ 0.00
Multiple Dependent	none		\$ 0.00

**or number previously paid, if greater, - For Reissues, see below

Large Entity	Small Entity	Fee Code (\$)	Fee Description
103	18	203	9 Claims in excess of 20
102	78	202	39 Independent claims in excess of 3
104	260	204	130 Multiple dependent claim, if not paid
109	78	209	39 ** Reissue independent claims over original patent
110	18	210	9 ** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) \$ 0.00

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Code (\$)	Fee Description	Fee Paid
105	130	205	65 Surcharge - late filing fee or oath	
127	50	227	25 Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130 Non-English specification	
147	2,520	147	2,520 For filing a request for reexamination	
112	920*	112	920* Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840* Requesting publication of SIR after Examiner action	
115	110	215	55 Extension for reply within first month	
116	380	216	190 Extension for reply within second month	
117	870	217	435 Extension for reply within third month	
118	1,360	218	680 Extension for reply within fourth month	
128	1,850	228	925 Extension for reply within fifth month	
119	300	219	150 Notice of Appeal	
120	300	220	150 Filing a brief in support of an appeal	
121	260	221	130 Request for oral hearing	
138	1,510	138	1,510 Petition to institute a public use proceeding	
140	110	240	55 Petition to revive - unavoidable	
141	1,210	241	605 Petition to revive - unintentional	
142	1,210	242	605 Utility issue fee (or reissue)	
143	430	243	215 Design issue fee	
144	580	244	290 Plant issue fee	
122	130	122	130 Petitions to the Commissioner	
123	50	123	50 Petitions related to provisional applications	
126	240	126	240 Submission of Information Disclosure Stmt	
581	40	581	40 Recording each patent assignment per property (times number of properties)	
146	760	246	380 Filing a submission after final rejection (37 CFR § 1.129(a))	
149	760	249	380 For each additional invention to be examined (37 CFR § 1.129(b))	

Other fee (specify) _____

Other fee (specify) _____

Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 0.00)

SUBMITTED BY

Name (Print/Type) Robert B. Hughes

Registration No. 19,304
(Attorney/Agent)

Complete (if applicable)

Telephone (360)647-1296

Signature

Date

December 01, 2000

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12/01/00
16975 U.S. PTO

12-04-00

A

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HUGHES & SCHACHT, P.C.

A PROFESSIONAL SERVICE CORPORATION

ROBERT B. HUGHES
MICHAEL R. SCHACHT
MICHAEL F. HUGHES

2801 MERIDIAN STREET, SUITE 1
BELLINGHAM, WA 98225-2412
(360) 647-1296
1-888-647-1296
FAX: (360) 671-2489

PATENT, TRADEMARK
& COPYRIGHT LAW

Assistant Commissioner for Patents
U.S. Patent and Trademark Office
Washington, D.C. 20231

December 01, 2000
Docket No. P113414

16990 U.S. PTO
09/728633
12/01/00

Sir:

Transmitted herewith for filing is a Patent application claiming Small Entity Status:

Applicant: Mr. Dieter Blum
Title: METHOD AND APPARATUS FOR THE SPECTRALLY EFFICIENT
ENCODING AND DECODING OF DISCRETE DATA INTO AND FROM
ANALOG WAVEFORMS

Application is claiming priority benefit under 35 U.S.C. §119(e) of U.S. Serial
Number(s) and Filing Date(s):

<u>Serial Number</u>	<u>Filing Date</u>
60/168,781	12/2/99

1. Enclosed are:

- Specification, claims (9 pages total: 6 pages of specification, 3 pages of claims);
- 1-page Utility Patent Application Transmittal;
- 1-page Fee Transmittal in duplicate form;
- 1 sheet of informal drawings;
- Unexecuted Combined Declaration and Power of Attorney;
- 1-page Preliminary Amendment;
- Certificate of Express Mailing requesting treatment under 37 CFR 1.10, Express Mail Filing Date of December 01, 2000, Label No. EL589683488US;
- A check in the amount of \$ 355.00 for Filing Fee; and
- A stamped return receipt postcard.

EXPRESS MAIL CERTIFICATE OF MAILING
37 C.F.R. §1.10

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service, Express Mail Post Office to Addressee, in an envelope addressed to BOX PATENT APPLICATION, Assistant Commissioner for Patents, Washington, DC 20231, on the date shown below.

Express Mail No: EL589683488US

Signature: 

Print Name: Robin Fry

DATE MAILED: December 01, 2000

09/728633